

09/18/2002 10:23:43

PTO/SB/17 (10-01)

Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$)120**Complete if Known**

|                      |             |
|----------------------|-------------|
| Application Number   | 09/1873,645 |
| Filing Date          | 6-4-01      |
| First Named Inventor | TAYLOR      |
| Examiner Name        |             |
| Group Art Unit       |             |
| Attorney Docket No.  | P-633       |

**METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number  
Deposit  
Account  
Name500821

- ☒
- Charge Any Additional Fee Required
- 
- Under 37 CFR 1.16 and 1.17

- ☒
- Applicant claims small entity status.
- 
- See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit card ☐ Money  
Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Small Entity

| Fee<br>Code | Fee<br>(\$) | Fee<br>Code | Fee<br>(\$) | Fee Description        | Fee Paid |
|-------------|-------------|-------------|-------------|------------------------|----------|
| 101         | 740         | 201         | 370         | Utility filing fee     |          |
| 106         | 330         | 206         | 165         | Design filing fee      |          |
| 107         | 510         | 207         | 255         | Plant filing fee       |          |
| 108         | 740         | 208         | 370         | Reissue filing fee     |          |
| 114         | 160         | 214         | 80          | Provisional filing fee |          |

SUBTOTAL (1) (\$)

**2. EXTRA CLAIM FEES**

| Total Claims              | Extra Claims | Fee from below | Fee Paid |
|---------------------------|--------------|----------------|----------|
| Independent Claims        | -20** =      | X              |          |
| Multiple Dependent Claims | -3** =       | X              |          |

Large Entity Small Entity

| Fee<br>Code | Fee<br>(\$) | Fee<br>Code | Fee<br>(\$) | Fee Description  |
|-------------|-------------|-------------|-------------|--|
| 103         | 18          | 203         | 9           | Claims in excess of 20                                     |
| 102         | 84          | 202         | 42          | Independent claims in excess of 3                          |
| 104         | 280         | 204         | 140         | Multiple dependent claim, if not paid                      |
| 109         | 84          | 209         | 42          | ** Reissue independent claims over original patent         |
| 110         | 18          | 210         | 9           | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$)

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)**COPY OF PAPERS  
ORIGINALLY FILED**3. ADDITIONAL FEES**

| Fee<br>Code                          | Large<br>Entity<br>Fee<br>(\$) | Fee<br>Code | Small<br>Entity<br>Fee<br>(\$) | Fee Description  | Fee Paid |
|--------------------------------------|--------------------------------|-------------|--------------------------------|--|----------|
| 105                                  | 130                            | 205         | 65                             | Surcharge - late filing fee or oath  |          |
| 127                                  | 50                             | 227         | 25                             | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139                                  | 130                            | 139         | 130                            | Non-English specification  |          |
| 147                                  | 2,520                          | 147         | 2,520                          | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112                                  | 920*                           | 112         | 920*                           | Requesting publication of SIR prior to Examiner action                     |          |
| 113                                  | 1,840*                         | 113         | 1,840*                         | Requesting publication of SIR after Examiner action                        |          |
| 115                                  | 110                            | 215         | 55                             | Extension for reply within first month                                     | 55       |
| 116                                  | 400                            | 216         | 200                            | Extension for reply within second month                                    |          |
| 117                                  | 920                            | 217         | 460                            | Extension for reply within third month                                     |          |
| 118                                  | 1,440                          | 218         | 720                            | Extension for reply within fourth month                                    |          |
| 128                                  | 1,960                          | 228         | 980                            | Extension for reply within fifth month                                     |          |
| 119                                  | 320                            | 219         | 160                            | Notice of Appeal   |          |
| 120                                  | 320                            | 220         | 160                            | Filing a brief in support of an appeal                                     |          |
| 121                                  | 280                            | 221         | 140                            | Request for oral hearing   |          |
| 138                                  | 1,510                          | 138         | 1,510                          | Petition to institute a public use proceeding                              |          |
| 140                                  | 110                            | 240         | 55                             | Petition to revive - unavoidable   |          |
| 141                                  | 1,280                          | 241         | 640                            | Petition to revive - unintentional   |          |
| 142                                  | 1,280                          | 242         | 640                            | Utility issue fee (or reissue)   |          |
| 143                                  | 460                            | 243         | 230                            | Design issue fee   |          |
| 144                                  | 620                            | 244         | 310                            | Plant issue fee  |          |
| 122                                  | 130                            | 122         | 130                            | Petitions to the Commissioner  |          |
| 123                                  | 50                             | 123         | 50                             | Processing fee under 37 CFR 1.17(q)  |          |
| 126                                  | 180                            | 126         | 180                            | Submission of Information Disclosure Stmt                                  |          |
| 581                                  | 40                             | 581         | 40                             | Recording each patent assignment per property (times number of properties) |          |
| 146                                  | 740                            | 246         | 370                            | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149                                  | 740                            | 249         | 370                            | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179                                  | 740                            | 279         | 370                            | Request for Continued Examination (RCE)                                    |          |
| 169                                  | 900                            | 169         | 900                            | Request for expedited examination of a design application                  |          |
| Other fee (specify) <u>Surcharge</u> |                                |             |                                |  | 65       |

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)120**SUBMITTED BY**

|                   |            |                                      |        |           |                 |
|-------------------|------------|--------------------------------------|--------|-----------|-----------------|
| Name (Print/Type) | JOHN BRADY | Registration No.<br>(Attorney/Agent) | 39,118 | Telephone | 800/2050267x134 |
| Signature         | John Brady |                                      |        | Date      | 19/10/01        |

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

09/873,645 06/04/2001

**Response To Notice To File Missing Parts Of Application**

**Filing Date Granted (PTO-1533)(Small Entity)**

Docket No.

P-633

In Re Application Of: TAYLOR et al

JAN 17 2002

Serial No.  
09/873,645

Filing Date  
06/04/2001

Examiner  
N/A

Group Art Unit  
N/A

Invention: ANALYSIS OF DATA FROM LIQUID CHROMATOGRAPHIC SEPARATION OF DNA

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Box Missing Parts

This is a response to the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533) mailed on  
08/20/2001  
Date

COPY OF PAPERS  
ORIGINALLY FILED

Enclosed herewith for filing are the following:

- ☒ A copy of the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533). **(REQUIRED)**
- ☐ An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date.
- ☒ A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date.
- ☐ An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date.
- ☐ A verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the United States Patent and Trademark Office.

☒ 1 verified small entity declaration(s)

☐ is/are attached.

☒ was/were filed on 06/04/2001

☐ A separate request for refund.

☒ Other (list):

\* 2 Executed Declaration and Power of Attorney For Patent Application  
\* Postage Prepaid Postcard

**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533)(Small Entity)**

Docket No.  
**P-633**

In Re Application Of: **TAYLOR et al**

Serial No.  
**09/873,645**

Filing Date  
**06/04/2001**

Examiner  
**N/A**

Group Art Unit  
**N/A**

Invention: **ANALYSIS OF DATA FROM LIQUID CHROMATOGRAPHIC SEPARATION OF DNA**

**TO THE ASSISTANT COMMISSIONER FOR PATENTS:**

Attention: Manager, Application Branch

☒ Completion of application fees as calculated below:

☐ Utility application filing fee

☐ Design application filing fee

☐ Total number of independent claims =

☐ Total number of claims =

☐ Multiple dependent claims

☒ Surcharge for late payment of filing fee and/or late filing of original declaration or oath **\$65.00**

☐ Petition and fee for filing by other than all the inventors or a person not the inventor

☐ Fee for processing an application filed with a non-English language specification

☐ Fee for processing and retention of application

Total completion of application fees **\$65.00**

This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a response to the above-identified Notice to File Missing Parts of Application. The requested extension is as follows (check time period desired). If an additional time extension is required, please consider this a petition therefor.

☒ One month ☐ Two months ☐ Three months ☐ Four months ☐ Five months

from: **October 20, 2001**  
Date

until: **November 20, 2001**  
Date

Total time extension fees **\$55.00**

Total fees due **\$120.00**

**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533) (Small Entity)**

Docket No.  
P-633

In Re Application Of: TAYLOR et al

Serial No.  
09/873,645

Filing Date  
06/04/2001

Examiner  
N/A

Group Art Unit  
N/A

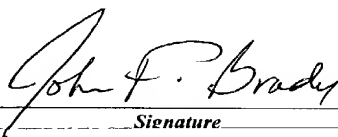
Invention: ANALYSIS OF DATA FROM LIQUID CHROMATOGRAPHIC SEPARATION OF DNA

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Attention: Manager, Application Branch

The fee of \$120.00 is to be paid as follows:

- ☐ A check in the amount of the fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. 50-0821  
A duplicate copy of this sheet is enclosed.
- ☒ If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. 50-0821  
A duplicate copy of this sheet is enclosed.

  
Signature

JOHN F. BRADY  
REG NO 39,118  
TRANSGENOMIC INC  
2032 CONCOURSE DR  
SAN JOSE CA 95131

Dated: 19 Nov 01



25732

PATENT & TRADEMARK OFFICE

I certify that this document and fee is being deposited on October 25, 2001 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

E. Tina Domingo

Typed or Printed Name of Person Mailing Correspondence

CC:



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/873,645         | 06/04/2001          | Paul D. Taylor        | P-633                  |

25732  
WILLIAM B. WALKER  
TRANSGENOMIC, INC.  
2032 CONCOURSE DRIVE  
SAN JOSE, CA 95131

CONFIRMATION NO. 4460

## FORMALITIES LETTER



\*OC00000006450508\*

COPY OF PAPERS  
ORIGINALLY FILED

Date Mailed: 08/20/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 65.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable

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form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

**For questions regarding compliance to these requirements, please contact:**

- **For Rules Interpretation, call (703) 308-4216**
- **To Purchase PatentIn Software, call (703) 306-2600**
- **For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)**

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*A copy of this notice MUST be returned with the reply.*




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Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE